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AUTHOR Dollerup, Cay, Ed.; And Others
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ABSTRACT

A detailed plan for stages one and two of the interdisciplinary Turko-Danish Fairytale Project is presented in this paper and factors considered in the project's research design are discussed in depth. The first section describes the working hypotheses of the project--that there are primordial patterns in the response to literature that are common to people in different cultures and countries, and that this hypothesis can be tested by charting readers' responses to fairy tales. The first section also notes that fairy tales belong to an oral tradition, describes some reasons for their appeal to large audiences today, and explains how they can be broken into deep structures. The second section explains the selection criteria for the fairy tales to be used in the project, including restrictions on length, cross cultural availability, and symbol familiarity/obviousness. The third section describes the tentative structure of the experimental set-up. The subjects and the core groups, preliminary plans for the instruction and questionnaires to be used, and the order of the fairy tales are discussed. (CRH)

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FAIRYTALE

An Interdisciplinary Turco-Danish Study of the Collective v. the Individual Nature of the Response to Literature

Report No. 5

Title: PLAN FOR THE EXPERIMENTAL SET-UP IN STAGES 1 AND 2

CAUTION: This is the final form of the plan from November 1979. Since then some changes have been made. These changes are traced, or do at least appear, in subsequent progress reports. For these progress reports, please apply to the below addresses.

Author(s)/Editor(s): CAY DOLLERUP (ED.)
DILEK DOLTAŞ
YILMAZ ESMER
IVEN REVENTLOW
CARSTEN ROSENBERG HANSEN
CEVZA SEVGEN

Date, original: 10/11/79 **Revised:**

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Addresses

Denmark:

c/o Cay Dollerup
Department of English
University of Copenhagen
Njalsgade 84-96
DK-2300 Copenhagen S
Denmark

Turkey:

c/o Dilek Doltaş
Department of Language and Literature
Boğaziçi University, P.K.2
Bebek
Istanbul
Turkey

INTRODUCTORY COMMENTS

The following pages comprise a detailed plan for stages 1 and 2 which were outlined briefly in *Report No. 1*, p. 6.

In the main, this plan is based on the discussions during the first coordinating conference in Copenhagen, 20-24 September 1979. In addition to the members of the project, Mr Bengt Holbek and the audience at the initial lecture delivered by Dilek Doltaş, have contributed substantially to the definition of the project's aims, and in pointing to factors which should be taken into account. Some corrections have been made since the conference and have been included in the present *Report*.

All comments concerning the work after the second conference (i.e. from p. 7 "The tentative plan calls for additional introspection studies ...", including III.0 etc.) were also discussed and are, accordingly, included against future plannning. They are, however, tentative and subject to change.

I.0 FAIRYTALES AND THE PRESENT STUDY

Roughly speaking, the working hypothesis of the present study is that there are primordial patterns in the response to literature which are common to people in different countries and cultures (cf. *Report No. 1*), and that this hypothesis can be tested by charting readers' responses on fairy-tales.

It is appreciated that the traditional fairy-tales belonged to an oral tradition where

A. they were, to a large extent, told by a fairly small number of people in the community, the "active narrators". For this feature we refer specifically to Von Syndow and Linda Dégh's as well as Evald Tang Kristensen's collecting of fairy-tales (etc.), and Bengt Holbek's study of the Tang Kristensen fairy-tales of people who told more than three fairy-tales. (In principle this 'minority' question tallies with what we meet with in ordinary literature which is, however, more elitish.)

B. In the countries where this has been checked systematically, "active bearers" of fairy-tales like the folk-tale narrators, tend to belong to the lower classes, the "proletariat", itinerant or resident (cf. Linda Dégh, *Folktale and Society*, p. 51].

C. The audience affects not only the surface contents of the fairy-tale (cf. *Report No. 3*), but also the identity of the narrator, so that e.g. males tend to be the narrators in mixed audiences.

D. The sex of the narrator may sometimes have an obvious effect on the symbols and their use in a given fairy-tale.

E. The sex of the majority of "active bearers" may differ in between societies, even at the local level. Thus it seems as if most Danish fairy-tale narrators were men, whereas most Turkish narrators were women (while, on the other hand, most Turkish folktale narrators were men [cf. Boratav, *Zaman Zaman Içinde*]).

By and large fairy-tales reflect the hopes and fears of people in old-fashioned, traditional, and agricultural societies. Within the contexts of these societies they often employed symbols (e.g. sexual ones) which were presumably understood by (most of) the adult audience and by the narrators (i.e. they were consciously or unconsciously developed and/or stressed); this implies that the same fairy-tale might be understood at different levels by a mixed audience. And in addition to this, the communal norms and values permeate the stories, e.g. in the rewards accorded to the heroes and heroines.

To a modern audience which is unfamiliar both with the symbols and the norms and values found and reflected in the specific fairy-tale, such communal implications may often be lost. In the context of the present study this indicates that the common ground (i.e. essentially the common lack of background) may now possibly be greater than before.

Fairy-tales seem to be ideal for testing out the working hypothesis, because

1. Fairy-tales appeal to large audiences even today.

2. It is a genre where the audience/the readers find it easy to identify with the characters.

3. Versions of the "same" fairy-tale are found in various countries and cultures. This bespeaks a high degree of "internationalism" in the genre, although it can be argued that the stories are not originally from the same common source: as mentioned above, the fairy-tale narrators of different communities belonged to comparable social groups. And then the similiarity in tradition does not in itself reflect cross-cultural phenomena, but rather the living conditions and aspirations of the "same" social strata in different societies, because the active bearers shared common socio-cultural conditions.

4. More than any other type of literature, fairy-tales can be divided into their component parts and compared on this basis. Thus Propp has divided the contents of fairy-tales into 31 functions (see *Report No. 4*). These functions have been used, expanded on, and simplified by various scholars, but fundamentally they always move from an initial situation to a happy ending.

On the basis of fairy-tales told by active narrators from Tang Kristensen's manuscript collections, Bengt Holbek has combined the Propp functions into 3 metafunctions or deep structures:

Propp's functions	Holbek's metafunctions / deep structures:	
1- 8	Part Ia	Premature attempt of child to escape parental authority (where the conflict is often projected on to the parents, but the punishment for their "childish" behaviour is visited on the child) (*negative* version leading to disaster = 8 in Propp's scheme).
9-15	Part Ib	Child breaking free of parents' authority in a process of maturation (*positive* version).
16-22	Part II	Meeting between hero and heroine.
23-31	Part III	Social conflict leading to marriage.

For the nonce, when the exact contents and identity of the fairy-tales chosen for the study is not decided upon, it may be useful, as a working hypothesis, to generalise Part Ia (the negative version) into "Conflict between an individual (child or adult) and authority; or between social and/or psychological reality and one's aspirations". In a similar vein, Part III, may be generalised as "Social and/or other conflict leading to a happy ending" (e.g. marriage). The reason is that this will make it possible to include a large group of Turkish tales in the potential "candidates".

In Holbek's model, which is then based on Danish material, Part I is a succession of crises connected with the process of growing up, attaining adulthood and coming to terms with the world. Ia and Ib are not mutually exclusive, since

Ia concerns the heroine and Ib the hero, or vice versa; and the negative version (a) may crop up as e.g. a flashback in a fairy-tale ostensibly presenting only Ib. It must also be noted that functions actually belonging to Part I (a + b) may be reiterated in the initial section of Part III - which is indicated by 'I bis' in Holbek's charts.

Part II is found in all cultures, just like Part I. In addition, it is the part most often found in fairy-tales. The importance of this part is emphasised by the fact that a fairy-tale is only full-fledged, provided that it has one full male and one full female character, in so far as both participate actively in the action (be it by a protest or a revolt against parental authority).

Part III is found in fairy-tales in communities with social stratification where social climbing is difficult, but where it is easily accomplished in the tales. But not in e.g. tribal communities without social hierarchies.

Taking into account the above comments (and *Report No. 3* as well), a fairy-tale can, hypothetically speaking, be described from different and overlapping angles on the sender side:

the individual (a psychological level)

the audience-oriented (a social level)

the communal/national level (a social level)

the symbolic level (a psychological level)

the international level (a primordial level).

Or as:

surface structure: action, imagery, etc.

deep structure: Propp functions, especially as simplified by Bengt Holbek.

The present study is concerned with the receiving side, and we shall have to look into both correspondences as differences between the sender and the receptor/addressee.

Although it would be wrong to draw any conclusion at the present stage about the audience response, it is accepted *a priori* that there must be considerable differences between Danes and Turks at the communal level about social values and norms. Accordingly the fairy-tales selected should be some where Part III in the Holbek model plays a minor part only. This will, in itself, not impede us from drawing conclusions about the relevance of social factors, for it is inconceivable that an audience-oriented study like the present one

should not uncover such determinants, since the fairy-tales we shall choose will have germinated in societies where social climbing was laudable. On the other hand the very fact that there will - explicitly or implicitly, consciously or unconsciously - be a social stratification in, or "behind", the fairy-tales, means that we purposely avoid the problems we would encounter if we should choose fairy-tales from cultures without "high" and "low" social strata, e.g. Eskimo or Ainu tales.

Parts I and II in Holbek's metafunctions, however, seem to proffer better chances of establishing primordial patterns in the audience response, although these patterns will, as hinted, often be closely intertwined with both the audience-orientation, the symbols, the norms, and the values in the sending society and its established order.

II.0 THE SELECTION OF THE FAIRY-TALES

In accordance with the original plan, the study will concentrate on three fairy-tales. Their length may vary from c. 800 - 3,000 words, but should ideally be between 1,000 to 2,000 words because this should make it possible for participants to do the experiment at one sitting.

If possible they should be fairy-tales *recorded* in their 'natural surroundings' (although it is obvious that even so the recorder may exert audience influence), not edited tales. If possible, the fairy-tales should be told by "active narrators", because of their greater familiarity with the fairy-tale genre, narrative techniques etc., should make their stories more cogent and fluent than those from less active narrators.

In addition the fairy-tales should avoid the most obvious symbols.

And, finally, they should, if possible, be full-fledged fairy-tales with both a male and a female protagonist.

The three fairy-tales will be selected according to the following criteria:

No. 1. One will be a fairy-tale recorded in both countries. It should however, not to be too well-known (in order to avoid set/established responses with the readers in the study). The actual text used should be the same which implies that the version employed must have been recorded in another country altogether, so that we avoid any particular "Turkish" or "Danish" in-built bias: the fairy-tale presented to the readers in either country will thus have the same deep structure and the same surface structure.

Nos. 2 and 3. The other two stories should preferably have the same deep structure or metafunctions according to the Holbek model, with the main part of the action in Part Ia/b or II, or both.

2 is a fairy-tale recorded in Turkey, but, as far as can be ascertained, not found in Denmark.

3 is a fairy-tale recorded in Denmark, but as far as we can ascertain, not found in Turkey.

Furthermore stories *2* and *3* should have a protagonist of the same sex, if possible.

It is assumed that such a selection stands the best chance of getting fairy-tales where it will be possible to ask questions about the experiences of the actual fairy-tales which are identical in either country, but this assumption must of course, be confirmed, or rejected, in the course of the pilot studies.

Because of the connotative and associative nature of language in literature there is, however, a major methodological and practical problem in establishing the same stimulus material in either country, i.e. fairy-tales which are as identical as humanly possible. And it is, of course, not until we have made sure that this is the case that the work on the questionnaire can have anything but a tentative, provisional nature. The definitive texts of the fairy-tales, however, presuppose a sentence-by-sentence check, involving at least all the literary members of the team, and is, accordingly, impossible before the second coordinating conference in Copenhagen (scheduled for May 1980). This does, however, not preclude the possiblity of working with "non-revised" texts, in the initial stages, where we

1. select the fairy-tales,
2. draw up tentative questionnaires.

The procedure to be followed is, roughly speaking, as follows:

The Turkish team is in charge of selecting 3 fairy-tales from each of the three above-mentioned categories of fairy-tales which are to be used in the experiment. They are selected on the basis of summaries, possibly (in the case of the Common story) the whole text, if it is found in a language known to all members of the team.

When three stories from each category have been identified as potentially useful, all of them (a total of nine) will be translated into Danish and Turkish, if necessary in 'relay'

from English. In so far as these translations are made by members of the team, they must take note of special stylistic features and other problems they encounter, both in the source as well as in the target languages, against a report on these problems.

These fairy-tales are then used in *a first trial experiment* whose sole purpose is to identify the stories which seem to appeal best to both Danish and Turkish readers. According to the discretion of the national teams, the nine fairy-tales are handed out to 10-20 high-school pupils or junior students (17-20 years of age). According to procedures adapted to local conditions, the subjects may then be asked to write essays on the fairy-tales, or be asked to "Retell the fairy-tale" - "Set down what made the greatest impression with you" - "Has this fairy-tale a deeper meaning", etc.

On the basis of the richness and variety of responses thus adduced, the national teams set up a list of the fairy-tales in order of priority. The fairy-tale from each of the groups which appears to be most suitable in both countries is then selected as the one for the main part of the study.

But since the stimulus material is not "correct", only "indicative", the responses in this part of the experiment cannot be used later on.

A new translation is then to be made in Denmark of the T > Dk(t) (i.e. fairy-tale *No. 2* above) and of the Dk > T(Dk) (i.e. fairy-tale *No. 3*). These translations are 'revised', and the Danish and the Turkish versions of the Common story (= fairy-tale *No. 1* above), are collated by a bilingual person in Denmark.

In *one or two additional pilot studies* the preliminary, corrected and 'revised' three fairy-tales are handed out to c. 10-20 students/high school pupils in Denmark and Turkey. From essays and other commentary key phrases are deduced, and national questionnaires are drawn up against the next conference in Copenhagen.

The tentative questionnaires are discussed at the conference in Copenhagen and supplemented and changed in accordance with the practical experiences as well as the theoretical considerations, especially in *Reports Nos. 3 and 4* in order to set up a preliminary common questionnaire.

The tentative plan calls for additional introspection studies after the initial discussion in order to supplement the questionnaires. After each revision the questionnaire is

collated bilingually, checked thoroughly by being tested on small groups (c. 10 readers), revised, coordinated etc. as outlined in *Report No. 1*, until we are sure that

- the questionnaire is unambibuous in either country,
- the crucial questions are as identical as identical can be, and the questionnaire covers all the potential target groups.

III.0 THE EXPERIMENTAL SET-UP (TENTATIVE)

III.1 THE SUBJECTS AND THE CORE GROUPS

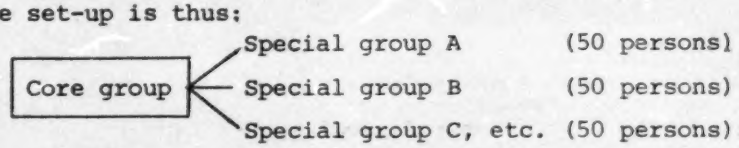
The core groups in the study are to be c. 18-year-old high school children (Danish 'gymnasiaster'). This age group is chosen because it fits in the groups in the Purves study (cf. *Report No. 1*), the readers in the *Ram*-investigation, and some of the Swedish experiments. In addition, this appears to be the level where we have the least heterogeneous groups in Denmark and Turkey, and where we may with some degree of confidence expect that it is possible to work on common ground (e.g. as to the questions).

Because for the socially different recruitments to such schools it will be attempted to approximate the groups by using ordinary Danish 'gymnasier' and mediocre ones in Turkey.

These groups are to be the core groups in the experiment and to comprise so many subjects that we can make as many statistically valid calculations as possible, both nationally and internationally.

Because they are chosen by the criterion of homogeneity, they will, however, not in themselves be sufficient to prove or disprove the working hypotheses about primordial patterns in the response, but the advantage is that any number of special groups (e.g. old age pensioners) which in no case will have to exceed c. 50 persons - can be tagged on to the core group and be compared on a statistically sound basis with the core groups.

The set-up is thus:



While this permits us to cast a wider net than originally anticipated, and provides us with a safer basis for testing the hypothesis about primordial components, each national team will also, at an early stage, have to consider potential special groups in order to try to make up a questionnaire which can be used unambiguously with other groups than high-school pupils.

III.2 PRELIMINARY PLANS FOR THE INSTRUCTION AND QUESTIONNAIRES

The main reasons for using an *unambiguous thoroughly-tested* questionnaire - with special possibilities for spontaneous and/or additional answers to be filled in by the readers - are:

1. That we can make the questions internationally identical (or at least comparable).

2. That we know exactly what we gauge.

3. That we know the means (including its limitations) by which we gauge the experiences.

4. That all readers are confronted with the same questions concerning aspects of their experiences.

5. That it is easy to make national and international comparisons between responses and aspects of the responses on a sound basis.

6. That it is possible to test out hypotheses concerning the primordial layers as well as surface features as they are felt to be part of the individual experiences of the fairy-tales.

The experimental set-up presupposes

a. that the experiment can be conducted at one sitting, preferably no more than 1½ hours.

b. that the subjects are motivated for reading the fairy-tales and answer the questions posed as honestly and fully as possible. A tentative solution to this is to start out with an introductory instruction which informs the readers that they are to read fairy-tales as part of an international study involving Denmark and Turkey. And possibly that they belong to a special group.

c. that interference from previous or directive questions on those following is avoided, minimised, or at least as identical in as many target groups as possible, preferably all.

Background variables can be tested out on a questionnaire tentatively charting:

(1) The reader's age.

(2) The reader's sex.

(3) Occupation. In the case of high school pupils (the core groups), we must ask for the parents' occupation. This may pose problems, especially in Denmark when both parents are working, but one solution may be to ask for one only (where we shall then, presumably get the most prestigious one). In Denmark occupations can be codified according to the classification used by "Socialforskningsinstituttet". The possibilites of a similar coding in Turkey must be checked.

(4) (Parents') income. This question appears to be unproblematic in Turkey, but it cannot be checked in the Danish experiment. The reason is that it runs counter to the question of anonymity, and that the readers will hardly know what their parents make. With other groups we run into problems about being too nosey, and with e.g. old-age pensioners, the information might easily be misleading.

(5) Reading habits. E.g.:

(5a) How many books have you read on your own (i.e. outside schoolwork, participation in courses) within the last year? (0, 1-2, 3-9, over 9): this tallies with the figures from the *Ram* study and thus gives additional control in the Danish group.

(5b) How many books of fiction have you read on your own (i.e. outside schoolwork, participation in courses) within the last year (this covers all types of literature, including detective novels, science fiction etc.) (0, 1-2, etc.).

(6) What is your favourite type of literature? (listed)

(7) (Questions concerning fairy-tales: care must be taken to enhance their status.)

(7a) Do you like fairy-tales? (Yes, No, Don't know.)

(7b) Have you read any fairy-tales on your own? (Yes, No, Don't know.)

(7c) Have you had fairy-tales read out to you from books - even as a child? (Yes, No, Don't know.)

(7d) Have you had fairy-tales told to you by somebody who did not read them out of books? (Etc.)

(7e) Can you mention some fairy-tales you like? (6 open lines): this question can be coded both by number of tales mentioned and perhaps even by their structures according to Bengt Holbek's model.

(8) Where is your main area of interest: e.g. 'in the arts (e.g. literature, music)', 'in the natural sciences' (e.g. physics, technology), 'in social life', 'other' (please state what). Do you have anything to add here? - This question seems crucial and yet tricky, and we shall have to expand it according to the readers' answers in the pilot study.

(9) If you are still in school: What do you intend to do after school? (The question may be very difficult to handle for statistical analysis.)

These tentative questions will invariably be changed during the conferences and especially the test phases. And the possibility of inserting additional or perhaps even irrelevant questions cannot be rejected out of hand at this stage.

III.3 THE ORDER OF THE FAIRY-TALES

The order in which the readers meet with the fairy-tales has been discussed in much detail. We know from the *Ram*-investigation that a (very small [2-3%]) number of the subjects may actually discuss what to write where there are possibilities for individualised answers (even though no similar marks have been found in the questions). In working with three texts, it is therefore reasonable to point out in the instruction that the order of presentation of tales is not necessarily the same with the reader sitting next to you. Furthermore, it is desirable to avoid, minimise or neutralise all biasses that are not readily covered otherwise (e.g. teacher bias in classes, geographical bias in special regions, etc.). This probably implies that we must make sure that in any group all combinations are handed out in the same number to the readers (i.e. it will not be adequate to give only the series A, B, C to all readers in the capital, and B, A, C to those in special groups).

III.3.1 POSSIBLE SOLUTIONS

The solution to the question of order affects the number of participants we need in the core groups.

One way suggested is complete rotation, meaning that there would be six combinations: Common fairy-tale (C), Turkish tale (T), Danish tale (Dk); T Dk C; Dk C T; T C Dk; C Dk T; Dk T C.

Interference from the previous tales would then spread equally over the spectrum - but if one story for some reason or other turns out to be strongly directive, this may be inconvenient, and in theory it might distort the responses on 1/3 or 2/3 of the material.

Another model is therefore suggested for the following reasons: From the point of view of psychological and methodological experiences we must ensure that the initial situation in the study is as identical for all readers as possible, although we appreciate that it is a contradiction in terms, because of differences in the readers' motivations, backgrounds, etc. In the set-up outlined up to now this similarity has been ensured by an identical instruction and similar questions, and it can be continued by having the same fairy-tale as the first one, viz., the one least likely to interfere with the following ones, i.e., the common fairy-tale.

The model would look as follows:

C Dk T(t) *or*: C T Dk(t).

To make sure that we can make valid calculations the number of subjects in each core group has been set tentatively at 300 in each cell. The table is then:

In both countries:

SEX	ORDER OF FAIRY-TALES	
	C Dk T(t)	C T Dk(t)
Males	300 readers	300 readers
Females	300 readers	300 readers
Readers in each group:	600	600

Total of readers in core groups in Dk and in T: 1200 in each country.

The model has the advantage that if it should turn out that e.g. either nationality finds "the other story" unpalatable and this influences the local tale, the divergence is easy to detect. On the other hand we shall have little idea of the influence the Common story has on the others.

Either of the approaches outlined implies that there is only one questionnaire per person (i.e. we must have a total of of c. 1,300 questionnaries for the core group alone).

IV.0 SOCIAL BACKGROUNDS

There is no reason to go into a charting of social systems and norms in the two countries, except for general information from one or two survey works. It will suffice to relate the differences which are actually uncovered in the experiment and based on the responses to specific educational, social, cultural, and possibly socio-economic factors.